



## Department of Energy

Washington, DC 20585

July 28, 2011

### MEMORANDUM FOR DISTRIBUTION

FROM:

DAE Y. CHUNG  
PRINCIPAL DEPUTY ASSISTANT SECRETARY  
FOR ENVIRONMENTAL MANAGEMENT

SUBJECT:

Fiscal Year 2011 Annual Integrated Safety Management System  
and Quality Assurance Effectiveness Review Declaration

Please submit your annual Integrated Safety Management System (ISMS) and Quality Assurance (QA) Declaration report by December 30, 2011, in line with the attached guidance. Field managers at small sites with Environmental Management (EM) prime contractors should arrange for EM Consolidated Business Center support as needed to complete the effectiveness reviews and/or preparation of the ISMS Declaration.

The Department of Energy (DOE) directives on Integrated Safety Management (ISM), line management oversight with contractor assurance, and operating experience mechanisms or processes have been or are in the final process of being revised to a succinct set of requirements and separate guidance documents. The revised directives focus on top-level requirements designed to give clarity and flexibility on how to implement them; however, these revisions must not be considered as direction to reduce the rigor and effectiveness of those ISMS and oversight programs currently in place.

This year's guidance is focused on the following areas:

- Nuclear Safety Culture, the Safety Conscious Work Environment, and field element actions taken based on feedback from the FY 2010 EM Federal Employee Safety Culture Survey;
- Activity level work planning and control;
- Field element safety oversight and contractor assurance system(s); and
- Development of meaningful Performance Objectives, Measures and Commitments with a renewed focus on leading indicators for nuclear and other high hazard facilities and metrics for work planning and control.

EM has supported implementation of ISMS as the foundation for safety management since the Defense Nuclear Facilities Safety Board (Board) Recommendation 95-2 almost 15 years ago. The Assistant Secretary for EM stated at a Public Board Hearing in May 2011 that we have chosen to maintain the practice of providing annual guidance to field managers on our expectations for ISMS/QA Declaration submittals to ensure that both Federal and contractor ISMS continue to be robust and effective.



The significance of ISMS has been bolstered by both the Deputy Secretary and the Secretary:

- In the recent response to the Board Recommendation 2011-1, *Safety Culture at the Waste Treatment and Immobilization Plant*, the Secretary committed that “...both EM Headquarters and field sites will assess nuclear safety culture and the implementation of a safety conscious work environment in their annual submittals for Integrated Safety Management System (ISMS) declarations. The specific criteria will build on the existing requirements for the ISMS declarations and will be expanded to include safety culture principles not only from DOE, but also from INPO and NRC.”
- During the June 2011 Nuclear Safety Workshop, the Deputy Secretary stated that “The Department is deeply committed to ISMS.”

One of the strategies in Goal 5 of the EM’s Journey to Excellence Roadmap is to “Develop a concise statement that defines EM’s vision that can be used to improve the effectiveness and focus of EM’s annual ISM validation.” This statement is the overlying principle for this year’s guidance for EM Declaration for ISMS as follows: The focus of the updated ISM/QA Effectiveness Review and Annual Declaration is to ensure that underlying safety management and QA processes have the inherent capacity and capability to effectively ensure safe and high quality execution of the EM mission consistent with agreed upon schedule, cost, product specifications, and contractual expectations.

The reformed guidance is based on EM’s decade long operating experience with the preparation and review of the ISMS/QA submittals that highlights the need to build on the maturity and substance of the process. Our goal is to ensure that the submittals continue to provide value-added insights to support informed decision-making at Headquarters (HQ) and the field. Based on the lessons learned from review of FY 2010 and previous submittals, the attached *FY 2011 Annual Integrated ISMS and QA Effectiveness Review Declaration Guidance* is designed to allow field managers increased opportunity to develop their declaration based on performance-based insights while avoiding duplication of information, reduce the volume of material submitted, and avoid the inclusion of outdated content.

This *FY 2011 Annual ISMS and QA Effectiveness Review Declaration Guidance* consists of fewer criteria than FY 2010 Guidance. The FY 2011 guidance focuses on performance accountability, requisite technical expertise and competency, and the field Federal staff oversight responsibilities to ensure that ISM and QA are effectively integrated and implemented at the site and project levels. The updated guidance will more effectively support the Secretarial and EM-1’s management reform initiatives and goals.

All organizations are required to maintain their ISMS descriptions and to ensure that they are complete, accurate, and up to date. Along with the annual ISMS/QA declaration report, please provide the most recent update of your office’s ISMS description along with your EM Corporate QA Performance Metrics summary reports. If no significant

changes are needed to maintain the current ISMS description, an explanation to this effect must be included in your declaration report.

Please submit your Declaration report to Mr. James Hutton, Acting Deputy Assistant Secretary for Safety and Security Program, with an electronic copy to Mr. B. K. Singh, at [Braj.Singh@HQ.DOE.gov](mailto:Braj.Singh@HQ.DOE.gov).

If you have any further questions, please contact Mr. James Hutton, Acting Deputy Assistant Secretary, Safety and Security Program, at (202) 586-5151.

Attachment

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